

|  |  |   |
|--|--|---|
| FORM PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE (REV 5-93)   |  | ATTORNEY'S DOCKET NUMBER<br>0609.4350001                          |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. § 371   |  | U.S. APPLICATION NUMBER (IF KNOWN, OF COURSE)<br><b>09/380704</b> |
| INTERNATIONAL APPLICATION NO.<br>PCT/US98/04683  | INTERNATIONAL FILING DATE<br>11 MARCH 1998 | PRIORITY DATE CLAIMED<br>11 MARCH 1997                            |
| TITLE OF INVENTION<br>IDENTIFICATION OF AGENTS FOR USE IN THE TREATMENT OF ALZHEIMER'S DISEASE   |  |   |
| APPLICANT(S) FOR DO/EO/US<br>Ashley I. BUSH, Xudong HUANG, Craig S. ATWOOD, and Rudolph E. TANZI   |  |   |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:  |  |   |
| <ol style="list-style-type: none"><li>1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. § 371.</li><li>2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. § 371.</li><li>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. § 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. § 371(b) and PCT Articles 22 and 39(1).</li><li>4. <input checked="" type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</li><li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. § 371(c)(2))<ol style="list-style-type: none"><li>a. <input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</li><li>b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau.</li><li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li></ol></li><li>6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. § 371(c)(2)).</li><li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International application under PCT Article 19 (35 U.S.C. § 371(c)(3))<ol style="list-style-type: none"><li>a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</li><li>b. <input type="checkbox"/> have been transmitted by the International Bureau.</li><li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li><li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li></ol></li><li>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. § 372(c)(3)).</li><li>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. § 371(c)(4)).</li><li>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. § 371(c)(5)).</li></ol> |  |   |
| Items 11. to 16. below concern other document(s) or information included:  |  |   |
| <ol style="list-style-type: none"><li>11. <input type="checkbox"/> An Information Disclosure Statement under 37 C.F.R. § 1.97 and 1.98.</li><li>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. § 3.28 and 3.31 is included.</li><li>13. <input checked="" type="checkbox"/> A FIRST preliminary amendment, with a one page Abstract.</li><li>14. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</li><li>15. <input type="checkbox"/> A change of power of attorney and/or address letter.</li><li>16. <input checked="" type="checkbox"/> Other items or information: Copy of the International Search Report<br/>Copy of the International Preliminary Examination Report</li></ol>   |  |   |

514 Rec'd PCT/PTO 08 SEP 1999

|   |  |                               |  |                   |  |
|---|--|-------------------------------|--|-------------------|--|
| U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.50) |  | INTERNATIONAL APPLICATION NO. |  | AIA DOCKET NUMBER |  |
| 09/380704   |  | PCT/US98/40071                |  | 0609.4350001      |  |

|  |              |              |            |               |              |
|--|--------------|--------------|------------|---------------|--------------|
| 17. <input checked="" type="checkbox"/> The following fees are submitted:  |              |              |            | CALCULATIONS  | PTO USE ONLY |
| <b>Basic National Fee (37 CFR 1.492(a)(1)-(5)):</b><br>Search Report has been prepared by the EPO or JPO ..... \$840.00  |              |              |            | \$670.00      |              |
| International preliminary examination fee paid to USPTO (37 CFR 1.482) ..... \$670.00  |              |              |            |               |              |
| No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) ..... \$760.00   |              |              |            |               |              |
| Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$970.00  |              |              |            |               |              |
| International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) ..... \$96.00  |              |              |            |               |              |
| ENTER APPROPRIATE BASIC FEE AMOUNT =   |              |              |            | \$ 670.00     |              |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input checked="" type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)). |              |              |            | \$130.00      |              |
| Claims   | Number Filed | Number Extra | Rate       |               |              |
| Total Claims   | 94 - 20 =    | 74           | X \$18.00  | \$ 1,332.00   |              |
| Independent Claims   | 27 - 3 =     | 24           | X \$78.00  | \$ 1,872.00   |              |
| Multiple dependent claim(s) (if applicable)  |              |              | + \$260.00 | \$ 260.00     |              |
| TOTAL OF ABOVE CALCULATIONS =  |              |              |            | \$ 4,264.00   |              |
| Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must be filed. (Note 37 CFR 1.9, 1.27, 1.28)   |              |              |            | \$            |              |
| SUBTOTAL =   |              |              |            | \$ 4,264.00   |              |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).       |              |              |            | \$            |              |
| TOTAL NATIONAL FEE =   |              |              |            | \$ 4,264.00   |              |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover (37 CFR 3.28, 3.31). \$40.00 per property   |              |              |            | \$            |              |
| TOTAL FEES ENCLOSED =  |              |              |            | \$ 4,264.00   |              |
|  |              |              |            | Amount to be: | \$           |
|  |              |              |            | refunded      |              |
|  |              |              |            | charged       | \$           |

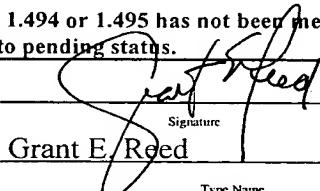
a. ☒ A check in the amount of \$4,264.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 19-0036. A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit Under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:  
 STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.  
 1100 New York Avenue, NW, Suite 600  
 Washington, D.C. 20005-3934

  
 Signature  
 Grant E. Reed  
 Type Name  
 41,264  
 Registration Number

September 8, 1999  
 Date

435-1.NAT.PHASE.TRANS.WPD

Received 1 postcard. 09

524 Rec'd PCT/PTO 08 SEP 1999

Due Date: September 11, 1999

Art Unit: To Be Assigned

Examiner: To Be Assigned

Docket: 0609.4350001

Applicants: Bush *et al.*

Application No.: To Be Assigned

National Phase of PCT/US98/04683

Int'l. Filing Date: March 11, 1998

Atty: JAG/REF/GER

For: Identification of Agents For Use in the Treatment of Alzheimer's Disease

When receipt stamp is placed hereon, the USPTO acknowledges receipt of the following documents:

1. Transmittal Letter to the United States Designated/Elected Office (DO/EO/US) Concerning a Filing Under 35 U.S.C. § 371 (*in duplicate*); 2. Copy of the International Search Report; 3. Copy of the International Preliminary Examination Report; 4. Preliminary Amendment, with a one page abstract; 5. Copy of International Application No. PCT/US98/04683 entitled: **Identification of Agents for Use in the Treatment of Alzheimer's Disease** and naming as inventors: Ashley I. Bush, Xudong Huang, Craig S. Atwood, and Rudolph E. Tanzi, the application consisting of: (a) a specification containing: (i) 121 pages of description prior to the claims; (ii) 17 pages of claims (claims 1-94); (b) 56 sheets of drawings: (Figures 1, 2A, 2B, 2C, 3, 4A, 4B, 4C, 5A, 5B, 6-12, 13A, 13B, 14A, 14B, 14C, 14D, 14E, 15A, 15B, 16A, 16B, 17, 18, 19A, 19B, 19C, 19D, 19E, 19F, 20A, 20B, 21, 22, 23, 24A, 24B, 25A, 25B, 26A, 26B, 27A, 27B, 28A, 28C, 29A, 29B, 30A-1, 30A-2, 30B, 30C, 30D, and 30E); 6. Our check No. 25323 for \$4,264.00 to cover: \$670.00 Basic National Fee (37 C.F.R. § 1.492(a)(1)); \$1,332.00 Claims in excess of twenty (37 C.F.R. § 1.16(b)); \$1,872.00 Independent claims in excess of three (37 C.F.R. § 1.16(c)); \$260.00 Multiple dependent claims (37 C.F.R. § 1.16(d)); and \$130.00 Surcharge (37 C.F.R. § 1.16(e)); and 7. Two (2) return postcards.

**Please Stamp With Date and Unofficial Appl. No. And Return**